



Rev. 04/01

Docket No. AEOMICA-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Penn et al.

Application No.: 09/774,203 Confirmation No. 7320

Filed: : January 29, 2001

For: : METHODS AND APPARATUS FOR PREDICTING,  
CONFIRMING, AND DISPLAYING FUNCTIONAL  
INFORMATION DERIVED FROM GENOMIC  
SEQUENCE

Group Art Unit : 1645

Hon. Commissioner  
for Patents  
c/o P.O. Box 2327  
Arlington, VA 22202

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TRANSMITTAL LETTER FOR  
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is a Supplemental Information  
Disclosure Statement in the above-identified application.

This Statement is submitted:

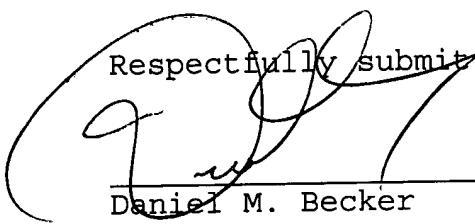
- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits;
- ☒ within three months of a communication from a foreign patent office in a counterpart foreign application.

In accordance with 37 C.F.R. § 1.97, submission of  
this Statement requires no fee. However, if for any reason  
a fee is due, the Director is hereby authorized to charge  
payment of any fees required in connection with this

Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is transmitted herewith.

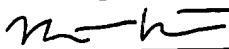
Respectfully submitted,

  
Daniel M. Becker  
Reg. No. 38,376  
Attorney for Applicants

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(650) 617-4000

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Matt Caretto

5/11/02  
Date of Signature



PATENTS  
AEOMICA-1

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98,  
applicants hereby make the following documents of record in  
the above identified application: \*

U.S. Patents

5,837,832	11/1998	Chee et al.
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Foreign Patents

WO 00/79006	12/2000	PCT
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\* Applicants reserve the right to challenge the status of any  
of the cited documents as prior art.

### Other Documents

Guo et al., "Direct Fluorescence Analysis fo Genetic Polymorphisms by Hybridization with Oligonucleotide Arrays on Glass Supports," *Nucleic Acids Research* 22(24): 5456-5465 (1994).

Guo et al., "Oligonucleotide Arrays for High Resolution HLA Typing," *Reviews in Immunogenetics* 1: 220-230 (1999).

Hacia et al., "Detection of Heterozygous Mutations in *BRCA1* Using High Density Oligonucleotide Arrays and Two-Colour Fluorescence Analysis," *Nature Genetics* 14: 441-447 (1996).

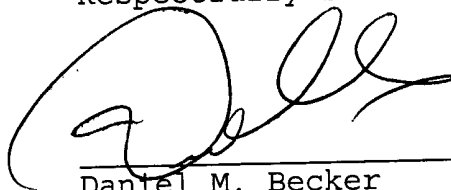
Hacia et al., "Evolutionary Sequence Comparisons Using High-Density Oligonucleotide Arrays," *Nature Genetics* 18: 155-158 (1998).

Hacia et al., "Strategies for Mutational Analysis of the Large Multiexon *ATM* Gene Using High-Density Oligonucleotide Arrays," *Genome Research* 8: 1245-1258 (1998).

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent that may issue on this application. Applicants request that a copy of Form PTO-1449 (submitted in duplicate herewith), as considered and initialed by the Examiner, be returned with the next communication.

An early and favorable action is respectfully requested.

Respectfully submitted,



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Matt Caretto

5/1/02  
Date of Signature

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
**AEOMICA-1**SERIAL NO.  
**09/774,203**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTAPPLICANT  
**Penn et al.**FILING DATE  
**January 29, 2001**GROUP  
**1645**

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,837,832	11/1998	Chee et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	WO 00/79006	12/2000	PCT			

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Guo et al., "Direct Fluorescence Analysis fo Genetic Polymorphisms by Hybridization with Oligonucleotide Arrays on Glass Supports," <i>Nucleic Acids Research</i> 22(24): 5456-5465 (1994).
	Guo et al., "Oligonucleotide Arrays for High Resolution HLA Typing," <i>Reviews in Immunogenetics</i> 1: 220-230 (1999).
	Hacia et al., "Detection of Heterozygous Mutations in <i>BRCA1</i> Using High Density Oligonucleotide Arrays and Two-Colour Fluorescence Analysis," <i>Nature Genetics</i> 14: 441-447 (1996).
	Hacia et al., "Evolutionary Sequence Comparisons Using High-Density Oligonucleotide Arrays," <i>Nature Genetics</i> 18: 155-158 (1998).
	Hacia et al., "Strategies for Mutational Analysis of the Large Multiexon <i>ATM</i> Gene Using High-Density Oligonucleotide Arrays," <i>Genome Research</i> 8: 1245-1258 (1998).

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.



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INVESTOR IN PEOPLE

Application No: GB 0123361.8 Examiner: Dr Jeremy Kaye  
 Claims searched: 1-18, 21-81, 92 (Filed Date of search: 20 March 2002  
 28/09/2001)

## Patents Act 1977

### Search Report under Section 17

#### Databases searched:

UK Patent Office collections, including GB, EP, WO & US patent specifications, in:

UK CI (Ed.T): C2L

Int CI (Ed.7):

Other: Online: EPODOC, WPI, PAJ, BIOSIS, CAPLUS, EMBASE, MEDLINE, SCISEARCH,  
 Internet: Lebl M., Leblova Z.: Dynamic database of references in molecular diversity. Internet <http://www.5z.com>.

#### Documents considered to be relevant:

Category	Identity of document and relevant passage	Relevant to claims
P, X	WO 00/79006 A1 (FRED HUTCHINSON CANCER RES.)	1-18, 21-81, 92
X	US 5837832 (CHEE ET AL.)	1-18, 21-81, 92
X	Rev. Immunogenetics, Vol.1, 1999, Guo, Z. et al., "Oligonucleotide arrays...", pp.220-230.	1-18, 21-81, 92
X	Genome Res., Vol.8, 1998, Hacia, J. G. et al., "Strategies for mutational...", pp.1245-1258.	1-18, 21-81, 92
X	Nature Genetics, Vol.18, Feb. 1998, Hacia, J. G. et al., "Evolutionary sequence comparisons...", pp.155-158.	1-18, 21-81, 92
X	Nature Genetics, Vol.14, Dec. 1996, Hacia, J. G. et al., "Detections of heterozygous...", pp.441-447.	1-18, 21-81, 92
X	Nuc. Acids Res., Vol.22, No.24, 1994, Guo, Z. et al., "Direct fluorescence of genetic...", pp.5456-5465.	1-18, 21-81, 92

X	Document indicating lack of novelty or inventive step	A	Document indicating technological background and/or state of the art.
Y	Document indicating lack of inventive step if combined with one or more other documents of same category.	P	Document published on or after the declared priority date but before the filing date of this invention.
&	Member of the same patent family	E	Patent document published on or after, but with priority date earlier than, the filing date of this application.